



#11 RECEIPT  
MP

PATENT  
Attorney Docket No.: DIVER1240-7

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Short et al (As Amended) Art Unit: 2152  
Application No.: 09/905,173 Examiner: Unassigned  
Filed: July 12, 2001  
Title: ENZYMES HAVING TRANSAMINASE AND AMINOTRANSFERASE  
ACTIVITY AND METHODS OF USE THEREOF

**BOX MISSING PARTS**

Commissioner for Patents  
Washington, D.C. 20231

**REQUEST FOR CORRECTION OF FILING RECEIPT**

Sir:

This Communication is submitted to request correction of the filing receipt in reference to the above-identified application. The data requiring correction is indicated in yellow highlight on the attached copy of the filing receipt and herein in **BOLD**.

Please make a correction *to the first line only* of the **Domestic Priority data as claimed by applicant** as follows:

**WHICH IS A CIP OF 09/412,184 10/04/1999 PAT 6,268,188**

Please change the **TOT CLAIMS** to the following:

**96**

Applicants accordingly request the correction be made of record and a corrected filing receipt be issued.

**CERTIFICATION UNDER 37 CFR §1.8**

I hereby certify that the documents referred to as enclosed herein are being deposited with the United States Postal Service as first class mail on April 29, 2002, in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231

*Karen LePari*

Karen LePari


In re Application of:  
Short et al (As Amended)  
Application No.: 09/905,173  
Filed: July 12, 2001  
Page 2

PATENT  
Atty Docket No.: DIVER1240-7

No fee is deemed necessary in connection with the filing of this paper. However, if any fee is required, the Commissioner is hereby authorized to charge the amount of this fee, or credit any overpayments, to Deposit Account No. 50-1355.

Respectfully submitted,

Date: April 29, 2002

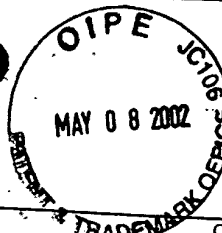
  
Kelly K. Reynolds, J.D.  
Registration No. 51,154  
Telephone: (858) 677-6724  
Facsimile: (858) 677-1465

GRAY CARY WARE & FREIDENRICH LLP  
4365 Executive Drive, Suite 1100  
San Diego, California 92121-213  
USPTO Customer Number 28213



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Page 1 of 2

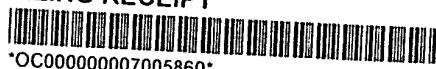
GRAYCARY/GT.PATENT  
UNITED STATES PATENT AND TRADEMARK OFFICECOMMISSIONER FOR PATENTS  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/905,173	07/12/2001	2152	0.00	DIVER1240-7	24	92 96	21

28213  
GARY CARY WARE & FRIENDENRICH LLP  
4365 EXECUTIVE DRIVE  
SUITE 1600  
SAN DIEGO, CA 92121-2189

CONFIRMATION NO. 3152

FILING RECEIPT



\*OC000000007005860\*

Date Mailed: 10/31/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Patrick V. Warren, Philadelphia, PA;  
Ronald V. Swanson, Media, PA;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/412,894 10/05/1999 \*  
AND A CIP OF 09/389,537 09/02/1999  
WHICH IS A CON OF 08/646,590 05/08/1996 PAT 5,962,283  
WHICH IS A CIP OF 08/599,171 02/09/1996 PAT 5,814,473  
AND A CIP OF 09/481,733 01/11/2000  
WHICH IS A CON OF 09/069,226 04/27/1998 PAT 6,013,509  
WHICH IS A CON OF 08/599,171 02/09/1996 PAT 5,814,473  
(\*) Data inconsistent with PTO records.

*This application is a  
CIP of 09/412,184  
10/04/99  
PAT 6,268,188*

## Foreign Applications

If Required, Foreign Filing License Granted 10/31/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

## Enzymes having transaminase and aminotransferase activity and methods of use thereof

Preliminary Class

709

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**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/905,173	07/12/2001	Patrick V. Warren	DIVER1240-7

28213

GARY CARY WARE & FRIENDENRICH LLP  
4365 EXECUTIVE DRIVE  
SUITE 1600  
SAN DIEGO, CA 92121-2189

CONFIRMATION NO. 3152

FORMALITIES LETTER



\*OC000000007002102\*

Date Mailed: 10/31/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

05/09/2002 SZEWDIE1 00000050 09905173

FILED UNDER 37 CFR 1.53(b)

01 FC:201	370.00 OP
02 FC:205	65.00 OP
03 FC:202	756.00 OP
04 FC:203	864.00 OP
05 FC:204	140.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.

*Applicant must submit \$ 710 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*

- Total additional claim fee(s) for this application is \$3402:

Adjustment date: 05/09/2002 SZEWDIE1	05/07/2002 BNCUYEN1 00000007 501355 09905173
01 FC:201	370.00 CR
02 FC:203	846.00 CR
03 FC:202	756.00 CR
04 FC:204	140.00 CR
05 FC:205	65.00 CR

  - \$1692 for 94 total claims over 20.
  - \$1440 for 18 independent claims over 3.
  - \$270 for multiple dependent claim surcharge.

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 4242.

- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be

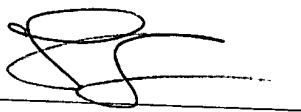
submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

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*A copy of this notice **MUST** be returned with the reply.*



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